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09-26-00 A

PTO/SB/29 (12/97)

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	10316-003-999	Total Pages	43
First Named Inventor or Application Identifier			
Eugene L. Podsiadlo			
Express Mail Label No.	EL 501 634 737 US		

516854  
JULY 25/00**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. <input checked="" type="checkbox"/> Fee Transmittal Form <i>Submit an original, and a duplicate for fee processing)</i>	[Total Pages 2]	6. <input type="checkbox"/> Microfiche Computer Program (Appendix)
2. <input checked="" type="checkbox"/> Specification <i>(preferred arrangement set forth below)</i>	[Total Pages 22]	7. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i>
-Descriptive title of the Invention		
-Cross Reference to Related Applications		
-Statement Regarding Fed sponsored R&D		
-Reference to Microfiche Appendix		
-Background of the Invention		
-Brief Summary of the Invention		
-Brief Description of the Drawings <i>(if filed)</i>		
-Detailed Description of the Invention (including drawings, <i>if filed</i> )		
-Claim(s)		
-Abstract of the Disclosure		
<input checked="" type="checkbox"/> Drawing(s) (35 USC 113)	[Total Sheets 16]	8. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))
<input checked="" type="checkbox"/> Oath or Declaration	[Total Sheets 2]	9. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i>
a. <input checked="" type="checkbox"/> Newly executed (original or copy)		10. <input type="checkbox"/> English Translation Document <i>(if applicable)</i>
b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 17 completed)</i>		11. <input type="checkbox"/> Information Disclosure <input type="checkbox"/> Copies of IDS Statement (IDS)/PTO-1449 Citations
[Note Box 5 below]		
i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u>		12. <input type="checkbox"/> Preliminary Amendment
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33 (b).		
<input type="checkbox"/> Incorporation By Reference <i>(useable if Box 4b is checked)</i>		13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i>
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.		
17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP)    of prior application No: filed .		

**18. CORRESPONDENCE ADDRESS** Customer Number or Bar Code Label 20583  
*(Insert Customer No. or Attach bar code label here)* or  Correspondence address below

NAME			
ADDRESS			
CITY	STATE	ZIP CODE	
COUNTRY	TELEPHONE	FAX	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

**PENNIE & EDMONDS LLP**  
**COUNSELLORS AT LAW**  
1155 Avenue of the Americas  
New York, N.Y. 10036-2711  
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ATTORNEY DOCKET NO. 10316-003-999Date: September 25, 2000

Assistant Commissioner for Patents  
Box PATENT APPLICATION  
Washington, D.C. 20231

Sir:

The following utility patent application is enclosed for filing:

Applicant(s): Eugene L. Podsiadlo

Executed on: September 25, 2000

Title of Invention: COMMUNICATION NETWORK BASED SYSTEM AND METHOD FOR AUCTIONING SHARES  
OF AN INVESTMENT PRODUCT

**PATENT APPLICATION FEE VALUE**

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	28	-20	8	\$18.00 each	\$ 144.00
Independent	4	-3	1	\$78.00 each	\$ 78.00
				Minimum Fee	\$ 690.00
				Multiple Dependency Fee If Applicable (\$260.00)	\$ 0.00
				<b>Total</b>	\$ 912.00
				50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern (a verified statement as to the applicant's status is attached)	\$ 0.00
				<b>Total Filing Fee</b>	\$ 912.00

Priority of application no. filed on in is claimed under 35 U.S.C. § 119.  
 The certified copy of the priority application has been filed in application no. filed  
 Amend the specification by inserting before the first line the following sentence: This is a continuation-in-part  
of application no. filed.

Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is  
enclosed.

Respectfully submitted,  
*U.C. 16-1150, 36, 196*

*for Francis E. Morris*

24,615

(Reg. No.)

Frank E. Morris  
PENNIE & EDMONDS LLP

Enclosure

This form is not for use with continuation, divisional, re-issue, design or plant patent applications.